Office Action Summary	Application No.	Applicant(s)	
	09/867,648	KWAN, NANG KON	
	Examiner	Art Unit	
	Khanh B. Pham	2177	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *31 May 2001* .

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-29* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-29* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *27 August 2003* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11)☐ The proposed drawing correction filed on _____ is: a)☐ approved b)☐ disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12)☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

13)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____ .

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

a) ☐ The translation of the foreign language provisional application has been received.

15)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ .
4) ☐ Interview Summary (PTO-413) Paper No(s). _____ .
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: .

DETAILED ACTION

1. The replacement drawings were received on August 27, 2003. These drawings are accepted by the Examiner.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

3. **Claims 1-29 are rejected** under 35 U.S.C. 102(a) as being anticipated by Wohlmacher ("Digital Certificates: a Survey of Revocation Methods"), hereinafter referred to as "Wohlmacher".

As per claims 1, 17, 29, Wohlmacher discloses a method and a computer readable medium for validating digital certificates, comprising:

- "receiving an online certificate status protocol request associated with a digital certificate" at page 114, 2nd paragraph;
- "creating a Lightweight Directory Access Protocol database query based on the received request" at page 114, Col. 1, 2nd and 3rd paragraphs;
- "sending the Lightweight Directory Access Protocol database query to determine whether the digital certificate is valid; and receiving a database query result

indicating whether the digital certificate is valid" at page 114, Col. 1, 2nd and 3rd paragraph.

As per claims 2, 18, Wohlmacher teaches the method and the computer readable medium of claims 1, 17, further including "sending an indication of whether the digital certificate is valid based upon the received database query result" at page 114, Col. 1, 2nd paragraph.

As per claims 3, 19, Wohlmacher teaches the method and the computer readable medium of claims 1, 17, wherein

- "the data processing system has a certificate authority and an associated database" at page 111, Col. 2, 2nd and 3rd paragraph;
- "and wherein the method further comprises: sending an indication of a new digital certificate from the certificate authority to the database upon issuance of the new digital certificate" at page 113, Col. 1, 2nd paragraph;
- "receiving, by the database, from the certificate authority, an indication of the new digital certificate; and storing a database record reflecting an identity of the new digital certificate" at page 113, Col. 1, 2nd paragraph.

As per claims 4, 20, Wohlmacher teaches the method and computer readable medium of claims 1, 17, wherein:

- "the data processing system has a certificate authority and an associated database" at page 111, Col. 2, 2nd and 3rd paragraph,

- "and wherein the method further comprises: sending an indication of a revoked digital certificate from the certificate authority to the database upon revocation of the revoked digital certificate" page 113, Col. 1, 2nd paragraph;

- "receiving, by the database, from the certificate authority, the indication of revocation of the revoked digital certificate; and removing a database record of an identity of the revoked digital certificate" page 113, Col. 1, 2nd paragraph.

As per claims 5, 21, Wohlmacher teaches a method and a computer readable medium in a data processing system for validating digital certificates, the data processing system having a certificate authority and an associated database, the method comprising:

- "receiving, by a database, a Lightweight Directory Access Protocol query based on an online certificate status protocol request indicating a requested digital certificate" at 114, Col. 1, 2nd and 3rd paragraphs;

- "searching the database for a database record reflecting an identity of the requested digital certificate" at 114, Col. 1, 2nd paragraph;

- "and returning an indication of the database record when the database record reflecting the requested digital certificate is found to indicate validity of the requested digital certificate" at 114, Col. 1, 2nd paragraph;

- "whereby the indication of the database record is returned without transmission of a certificate revocation list by the certificate authority" 114, Col. 1, 2nd and 3rd paragraphs.

As per claims 6, 22, Wohlmacher teaches the method and the computer readable medium of claims 5, 21, further comprising the step of:

- "sending an indication of a new digital certificate from the certificate authority to the database upon issuance of the new digital certificate" at page 113, Col. 1, 2nd paragraph;

- "receiving, by the database from the certificate authority, an indication of the new digital certificate upon issuance of the new digital certificate" at page 113, Col. 1, 2nd paragraph;

- "and storing a database record reflecting an identity of the new digital certificate" at page 113, Col. 1, 2nd paragraph.

As per claims 7, 23, Wohlmacher teaches a method and the computer readable medium for validating digital certificates without certification revocation lists, comprising:

- "receiving an online certificate status protocol request associated with a digital certificate" at 114, Col. 1, 2nd paragraph;

- "creating a database query based on the received request; sending the database query to determine whether the digital certificate is valid" at 114, Col. 1, 2nd paragraph;

- "and receiving a database query result indicating whether the digital certificate is valid" at 114, Col. 1, 2nd paragraph.

As per claims 8, 24, Wohlmacher teaches the method and the computer readable medium of claims 7, 23, wherein "the database query is a Lightweight Directory Access Protocol database query" at 114, Col. 1, 3rd paragraph.

As per claims 9, 25, Wohlmacher teaches a method and a computer readable medium for validating digital certificates without certification revocation lists, the data processing system having a certificate authority and an associated database, the method comprising:

- "receiving, by the database, a query based on an online certificate status protocol request indicating a requested digital certificate" at 114, Col. 1, 2nd paragraph;

- "searching the database for a database record reflecting an identity of the requested digital certificate; and returning an indication of the database record when the database record reflecting the requested digital certificate is found to indicate validity of the requested digital certificate" at 114, Col. 1, 2nd paragraph.

As per claims 10, 26, Wohlmacher teaches the method and the computer readable medium of claims 9, 25, further comprising the step of:

- "sending an indication of the new digital certificate from the certificate authority to the database upon issuance of the new digital certificate; receiving, by the database from the certificate authority, an indication of a new digital certificate upon issuance of the new digital certificate; and storing a database record reflecting an identity of the new digital certificate" at page 113, Col. 1, 2nd paragraph.

As per claims 11, 27, Wohlmacher teaches the method and the computer readable medium of claims 9, 25, wherein "the received query is a Lightweight Directory Access Protocol query" at 114, Col. 1, 3rd paragraph.

As per claims 12, 28, Wohlmacher teaches a method and a computer readable medium in a data processing system for validating digital certificates without certification revocation lists, the data processing system having a client, a server, an OCSP responder, a database, and a certificate authority (page 111, Col. 1), the method comprising:

- "sending a request from the client for a transaction, the request including a digital certificate identifying the client; receiving the client request by the server" at page 114, Col. 1, 2nd paragraph;

- "creating, by the server, an online certificate status protocol request based on the associated digital certificate identifying the client; sending the online certificate status protocol request by the server" at page 114, Col. 1, 2nd paragraph;

- "receiving, by the OCSP responder, the online certificate status protocol request associated with the digital certificate; creating a Lightweight Directory Access Protocol database query based on the received online certificate status protocol request" at page 114, Col. 1, 2nd and 3rd paragraphs;

- "sending the Lightweight Directory Access Protocol database query to the database to determine whether the digital certificate is valid, the database storing records of valid certificates of the certificate authority; searching the database for a database record identifying the digital certificate associated with the online certificate status protocol request; returning a LDAP database query result indicating whether the digital certificate is valid; and receiving the returned LDAP database query result" at page 114, Col. 1, 2nd and 3rd paragraphs.

As per claim 13, Wohlmacher teaches a data processing system for answering online certificate status requests without certificate revocation lists, comprising:

- a memory having program instructions; a processor configured to execute the program instructions to receive an online certificate status protocol request associated with a digital certificate" at page 114, Col. 1, 2nd paragraph,

- "create a database query based on the received request, send the Lightweight Directory Access Protocol database query to determine whether the digital certificate is valid, and receive a Lightweight Directory Access Protocol database

query result indicating whether the digital certificate is valid" at page 114, Col. 1, 2nd and 3rd paragraphs.

As per claim 14, Wohlmacher teaches a data processing system for answering online certificate status requests without certificate revocation lists, comprising:

- "a first computer having: a memory having program instructions; a processor configured to execute the program instructions to receive an online certificate status protocol request associated with a digital certificate" at page 114, Col. 1, 2nd paragraph;

- "create a database query based on the received request, send the database query to determine whether the digital certificate is valid, and receive a database query result indicating whether the digital certificate is valid" at page 114, Col. 1, 2nd paragraph;

- "and a second computer representing a directory server having: a database storing database records indicating digital certificates; a memory having program instructions; a processor configured to execute the program instructions to receive, from a certificate authority, an indication of a new digital certificate upon issuance of the new digital certificate, store a database record reflecting an identity of the new digital certificate, receive the database query based on the online certificate status protocol request from the first computer, search the database for a database record reflecting an identity of the requested digital certificate; and return an indication of the database record to the first computer

when the database record reflecting the requested digital certificate is found to indicate validity of the requested digital certificate" at page 113, Col. 1, 2nd paragraph.

As per claim 15, Wohlmacher teaches the data processing system of claim 14, wherein "the database query is an LDAP query" at page 114, Col. 1, 3rd paragraph.

As per claim 16, Wohlmacher teaches a data processing system for answering online certificate status requests without certificate revocation lists, comprising:

- "a client computer configured to send a request for a transaction, the request including a digital certificate identifying the client" at page 114, Col. 1, 2nd paragraph;
- "a server computer configured to receive the client request, create an online certificate status protocol request based on the associated digital certificate identifying the client" at page 114, Col. 1, 2nd paragraph;
- "and send the online certificate status protocol request; an OCSP responder configured to receive the online certificate status protocol request associated with the digital certificate" at page 114, Col. 1, 2nd paragraph,
- "create a Lightweight Directory Access Protocol database query based on the received online certificate status protocol request, and send the Lightweight Directory Access Protocol database query to a database to determine whether

the digital certificate is valid, the database storing records of valid certificates of the certificate authority" at page 114, Col. 1, 2nd and 3rd paragraphs;

- "and a database configured to search for a database record identifying the digital certificate associated with the online certificate status protocol request, return an LDAP database query result indicating whether the digital certificate is valid" at at page 114, Col. 1, 2nd and 3rd paragraphs.

Conclusion

4. The prior art made of record, listed on form PTO-892, and not relied upon, if any, is considered pertinent to applicant's disclosure.

If a reference indicated as being mailed on PTO-FORM 892 has not been enclosed in this action, please contact Lisa Craney whose telephone number is **(703) 305-9601** for faster service.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Khanh B. Pham whose telephone number is (703) 308-7299. The examiner can normally be reached on Monday through Friday 7:30am to 4:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John E Breene can be reached on (703) 305-9790. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)746-7240.

Khanh B. Pham
Examiner
Art Unit 2177

KBP
October 3, 2003

JEAN R. HOMERE
PRIMARY EXAMINER